

# COMMISSION ON GOVERNMENTAL ETHICS AND ELECTION PRACTICES

MAR 1/8 2013

Maine Ethics Commission

Mail: 135 State House Station, Augusta, Maine 04333-0135 Office: 45 Memorial Circle, Augusta, Maine

WEBSITE: www.maine.gov/ethics

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### STATEMENT OF SOURCES OF INCOME FOR EXECUTIVE EMPLOYEES

For the 2012 Calendar Year: January 1, 2012 - December 31, 2012

Please file this statement with the <u>Maine Ethics Commission</u>. Please contact Commission staff at 287-4179 or come to the Commission office at 45 Memorial Circle, Augusta, if you have any questions about this form, your reporting requirements, or how to report specific situations. A glossary is located in the back of this form.

#### **General Instructions**

- Complete all sections. If a section is not applicable, check the box marked "None."
- Report only specific sources of income. Dollar amounts do not need to be reported.
- · If completing this form by hand, please write legibly.

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REPORT TYPE (please see below)				
∏Initial	✓Annual	Update	Final	

#### **Reporting Deadlines**

#### **Constitutional Officers and the State Auditor**

Newly elected constitutional officers and the state auditor must file the financial disclosure statement within 30 days of election and by April 15 of each year they are in office, unless a report for that year has already been filed.

## **Appointed Executive Employees**

Newly appointed executive employees who are appointed by the Governor and confirmed by the Legislature must file the financial disclosure statement prior to their confirmation and by April 15 of each year of their employment, unless a report for that year has already been filed..

#### **Executive Employees in Major Policy-Influencing Positions**

Executive employees in major policy-influencing positions must file the financial disclosure statement by April 15 of each year of their employment.

#### **Leaving Office or Terminating Employment**

Constitutional officers and the state auditor and all other executive employees must file a final financial disclosure statement within 45 days of leaving office or terminating employment that covers the calendar year of leaving office or terminating employment.

#### **Updating Statement**

An executive employee shall file an updated statement concerning the current calendar year if the income, reportable liabilities or positions of the executive employee or an immediate family member, excluding dependent children, substantially change from those disclosed in the employee's most recent statement. Substantial changes include, but are not limited to:

- a new employer that has paid the employee/immediate family member \$2,000 or more during the current year,
- a source of income that has provided the employee/immediate family member with income that totals \$2,000 or more
  during the current year, and
- the acceptance of a new position with a for-profit or nonprofit firm or political action or ballot question committee.

The executive employee shall file the updated statement within 30 days of the substantial change in income, reportable liabilities or positions.

Part 1. Income from Employment	by Another			
✓ None. Check this box if you did	not have income fro	m employment by	another.	
Name of Employer	Address	Principal Type of Ec Business Activity of	onomic or Employer	Job Title
Part 2. Income from Self-Employr	nent			
None. Check this box if you did	not have income from	n self-employmen	t.	
Name of Your Business/Trade Name	Addre	3 <b>5</b> \$	Principal Type	of Economic or Business Activity
Name of Client or Customer, if required (see	Charles Addre	988	Principal Type	of Economic or Business
instructions)	· 医克里克斯氏管		Act	ivity of Client
Part 3. Revenue of Business Entit	ies			
None. Check this box if you and	l your immediate fam	ily did not have a r	najority share in	a business.
Name of Business	Addre	SS	Principal Type	of Economic or Business Activity
Part 4. Income from the Practice of	of Law			
✓ None. Check this box if you did	not have income fron	n the practice of la	w.	
Name of Practice or Firm Address	Your Major Pract		Major Areas of Practice	Position: Partner, Associate, Sole Practitioner

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Part 5. Income from Any Other Sc	ource	
None. Check this box if you did	not have income from any other source.	
Name of Source	Address	Type of Income
Amerprise Financial	70100 Ameriprise Financial Center Minneapolis MN 55474	IRA Distribution
Part 6-A. Compensation Income o	f Immediate Family Members	
	bers of your immediate family received i	
Name and Job Title (do not list name of dependent child	Employer's Name and Address	Principal Type of Economic or Business Activity of Employer
1		
Part 6-B. Other Sources of Income	of Immediate Family Members	
None. Check this box if no member other source.	pers of your immediate family received i	ncome of \$2,000 or more from any
Name of Spouse or Partner (do not list name of dependent child)	Source of Income Name and Address	Type of Income

✓ None. Check this box if you did not have rep	oortable liabilities.		
Lender's Name	Lender's Address	Principal Type of Economic o Business Activity of Lender	
Part 8. Gifts, Including Travel and Accomm	10000 - 10		
None. Check this box if you did not receive	ed any gifts.		
Source of Gift		urce of Gift	
1.	2.		
3.	4.		
•			
Part 9. Honoraria  ✓ None. Check this box if you did not received	d honoraria.		
Part 9. Honoraria		e of Honoraria	
Part 9. Honoraria ✓ None. Check this box if you did not received		e of Honoraria	
Part 9. Honoraria  ✓ None. Check this box if you did not received  Source of Honoraria	Source	e of Honoraria	
Part 9. Honoraria  None. Check this box if you did not received Source of Honoraria	2. 4.	e of Honoraria	
Part 9. Honoraria  None. Check this box if you did not received  Source of Honoraria	2. 4. Question Committees		
Part 9. Honoraria  ✓ None. Check this box if you did not received Source of Honoraria  .  Part 10. Positions in Political Action or Ballot  ✓ None. Check this box if you were not a treas	2. 4. Question Committees	ndraiser of a PAC or BQC.	
Part 9. Honoraria  ✓ None. Check this box if you did not received Source of Honoraria  I.  Part 10. Positions in Political Action or Ballot  ✓ None. Check this box if you were not a treas  Name of Committee	2. 4. Question Committees		
Part 9. Honoraria  ✓ None. Check this box if you did not received Source of Honoraria  .  Part 10. Positions in Political Action or Ballot  ✓ None. Check this box if you were not a treas	2. 4. Question Committees	ndraiser of a PAC or BQC.	

Part 11. Conducting Business with	State Agencies			
None. Check this box if neither yo	u nor your immed	liate family did busin	ess with any State	agency.
Name of Agency	Name of Individual/Organization Selling Goods or Services		Description of Good or Services	
Part 12. Representing Others before	re State Agencie	s		
None. Check this box if neither yo	u nor your immed	iate family represent	ed another before	a State agency.
Name of Agency		Name of Ind	ividual Receiving (	Compensation
			TO SHARE THE STATE OF THE STATE	Address of the Control of the Contro
			and the second of the second	
Part 13. Positions in For-Profit and			4 hald manifiana in .	f musfit or
None. Check this box if you and r non-profit organizations.	nembers your uni	nediate tamily did no	t noia positions in	апу тог-ргонь о
Organization/Business and Address	Title	Name of Position Holder	Relationship to Executive Employee	Compensated Yes/No
			□Self □Spouse □Dependent	☐ Yes ☐ No
			□Self □Spouse □Dependent	☐ Yes ☐ No
			☐Self ☐Spouse ☐Dependent	☐ Yes ☐ No
	SIGN	ATURE	Politica (Principle)	
I CERTIFY THAT I HAVE EXAMINED T CORRECT, AND COMPLETE.	THIS REPORT AN	ND TO THE BEST O	F MY KNOWELDG	E IT IS TRUE,
Fash, Hundington	philopana	<del></del>	<u>3-/5</u>	- <u> </u>
THE INTENTIONAL FILI	NG OF A FALSE STATE	EMENT IS A CLASS E CRIM	ME (5 M.R.S.A. § 19(4))	